

PTO/SB/08A (04-03)

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Complete if Known

Application Number	10/601,034
Filing Date	June 20, 2003
First Named Inventor	Joshua T. Goodman, et al.
Art Unit	2155 2141
Examiner Name	Unknown Bayard, D
Attorney Docket Number	MS303963.1/MSFT439US

Sheet 1 of 4

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
D.B.		US- 6,161,130	12/12/2000	Horvitz, et al.	
		US- 6,023,723	02/08/2000	McCormick, et al.	
		US- 6,003,027	12/14/1999	Prager	
		US- 5,835,087	11/10/1998	Herz, et al.	
		US- 5,638,487	06/10/1997	Chigier	
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		US- 5,377,354	12/27/1994	Scannel, et al.	
		US- 6,192,360	2/20/2001	Dumais, et al.	
		US- 5,704,017	12/30/1997	Heckerman, et al.	
		US- 6,266,692	07-24-2001	Greenstein	
		US- 6,484,197	11-19-2002	Donohue	
		US-			
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FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ⁶
		Country Code ³ *Number ⁴ *Kind Code ⁵ (if known)				
D.B.		EP720 333	07/03/1996	A T & T Corp.		
D.B.		EP413 537	02/20/1991	Digital Equipment Int.		
D.B.		WO96/35994	11/14/1996	Compuserve, Inc.		

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Signature

/Djenane Bayard/

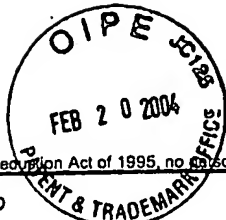
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Application Number	10/601,034
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First Named Inventor	Joshua T. Goodman, et al.
Art Unit	2453-2141
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Sheet	2	of	4
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NON PATENT LITERATURE DOCUMENTS

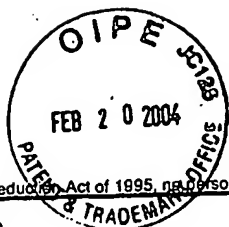
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
D.B.		CYNTHIA DWORK, et al.; "Pricing Via Processing or Combatting Junk Mail"; Presented at Crypto '92; pp. 1-11	
D.B.		THORSTEN JOACHIMS; "Text Categorization with Support Vector Machines: Learning with Many Relevant Features"; LS-8 Report 23, November 1997, 18 pages.	
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Examiner Name	Unknown Bayard, D
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Sheet 3 of 4

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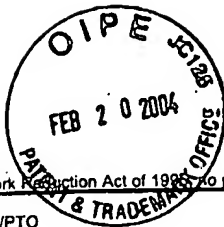
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Application Number	10/601,034
Filing Date	June 20, 2003
First Named Inventor	Joshua T. Goodman, et al.
Art Unit	2153-2141
Examiner Name	Unknown Bayard, D
Attorney Docket Number	MS303963.1/MSFTP439US

Sheet 4 of 4

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
D.B.		DAVID MADIGAN, "Statistics and The War on Spam," Rutgers University, pp. 1-13, 2003	
D.B.		PADRAIG CUNNINGHAM, et al., "A Case-Based Approach to Spam Filtering that Can Track Concept Drift," Trinity College, Dublin, Department of Computer Science, 5/13/03	
D.B.		MARK ROSEN, "E-mail Classification in the Haystack Framework," Massachusetts Institute of Technology, February, 2003	
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**SUPPLEMENTAL INFORMATION
DISCLOSURE STATEMENT
BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 5

Complete if Known

Application Number	10/601,034
Filing Date	6/20/03
First Named Inventor	Joshua T. Goodman
Art Unit	2153 2141
Examiner Name	Unknown Bayard
Attorney Docket Number	MS303963.1/MSFTP439US

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
D.B.		US- 6,779,021	08-17-2004	Bates et al.	
↓		US- 6,732,149	05-04-2004	Kephart	
		US- 6,728,690	04-27-2004	Meek et al.	
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V		US- 2004/0139165	07-15-2004	McMillan et al.	
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FOREIGN PATENT DOCUMENTS

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				Art Unit	2153
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NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²	
D.B.		D. TURNER et al., Payment-based Email. 5th International Conference on Software Engineering, Artificial Intelligence, Networking, and Parallel/Distributed Computing, June 2004. 7 pages.		
D.B.		D.A. TURNER et al., Controlling Spam through Lightweight Currency. In Proc. of the Hawaii International Conference on Computer Sciences, January 2004. 9 pages.		
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Substitute for form 1449/PTO SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)				Complete if Known	
				Application Number	10/601,034
				Filing Date	6/20/03
				First Named Inventor	Joshua T. Goodman
				Art Unit	2153
				Examiner Name	Unknown
Sheet	5	of	5	Attorney Docket Number	MS303963.1/MSFTP439US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
D.B.		P.Y. SIMARD, et al., Using Character Recognition and Segmentation to Tell Computer from Humans. International Conference on Document Analysis and Recognition (ICDAR), IEEE Computer Society, Los Alamitos, pp. 418-423, 2003.	
D.B.		S. LI et al., Secure Human-Computer Identification against Peeping: A Survey. Technical Report, Microsoft Research, 2003. 53 pages.	

Examiner Signature	/Djenane Bayard/	Date Considered	03/23/2007
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Substitute for form

(Use as many sheets as necessary)

Sheet	1	of	2
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Application Number	10/601,034
Filing Date	June 20, 2003
First Named Inventor	Joshua T. Goodman et al.
Art Unit	2153-2141
Examiner Name	Unknown Bayard
Attorney Docket Number	MS303963.01/MSFTP439US

[illegible]

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	1 ^o
		Country Code ² Number ⁴ Kind Code ⁵ (if known)				
D.B.		EP 1376427	03-26-2003	Microsoft Corporation		

03/23/2007

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**SUPPLEMENTAL
INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	10/601,034
Filing Date	June 20, 2003
First Named Inventor	Joshua T. Goodman, et al.
Art Unit	2153-2141
Examiner Name	Unknown Bayard
Attorney Docket Number	MS303963.01/MSFTP439US

Sheet

2

of

2

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Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
D.B.		European Search Report, EP31087TE900, mailed 11-11-04	
D.B.		J. BYRNE, My Spamblock, Google, January 19, 1997, 2 pages	
D.B.		D. F. SKOLL, How to Make Sure a Human is Sending You Mail, Google, November 17, 1996, 2 pages	
D.B.		L. M. BOWMAN, Hotmail Spam Filters Block Outgoing E-Mail, CNET NEWS.COM, January 18, 2001, 3 pages	

Examiner Signature	/Djenane Bayard/	Date Considered	03/23/2007
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Complete if Known

Application Number	10/601,034
Filing Date	June 20, 2003
First Named Inventor	Joshua T. Goodman
Art Unit	2153 2141
Examiner Name	Unknown Bayard
Attorney Docket Number	MS303963.01/MSFTP439US

Sheet	2	of	2
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NON PATENT LITERATURE DOCUMENTS

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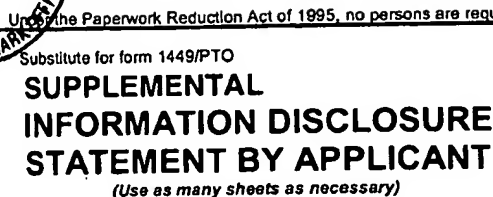
Examiner Signature	/Djenane Bayard/	Date Considered	03/23/2007
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**SUPPLEMENTAL
INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	10/601,034
Filing Date	June 20, 2003
First Named Inventor	Joshua T. Goodman, et al.
Art Unit	2153 - 2141
Examiner Name	Unknown Bayard
Attorney Docket Number	MS303963.01/MSFTP439US

Sheet	1	of	2
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U. S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	T ^o
		Country Code*~Number*~Kind Code* (if known)				
D.B.		WO 02/071286	09-12-2002	MessageLabs, Ltd.		

Examiner Signature	/Djenane Bayard/	Date Considered	03/23/2007
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Translation is attached.

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Substitute for form 1449/PTO SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Complete if Known	
		Application Number	10/601,034
		Filing Date	June 20, 2003
		First Named Inventor	Joshua T. Goodman, et al.
		Art Unit	2453 2141
Examiner Name	Unknown Bayard		
Attorney Docket Number	MS303963.01/MSFTP439US		
Sheet	2	of	2

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
D.B.		YU WU, et al., A New Anti-Spam Filter Based on Data Mining and Analysis of Email Security, Conference Proceedings of the SPIE, Data Mining and Knowledge Discovery Theory, Tools and Technology V, vol. 5098, 21 April 2003, pp. 147-154, Orlando, FL, USA	
D.B.		MASSEY, B., et al., Learning Spam: Simple Techniques for Freely-Available Software, Proceedings of Freenix Track 2003 Usenix Annual Technical Conference, Online!, 9 June 2003, pp. 63-76, Berkley, CA, USA	
D.B.		GRAHAM, P., The Future of Spam, Computer Security Journal, CSI Computer Security Institute, vol. 19, no. 1, January 2003, pp. 1-5	
D.B.		GRAHAM, P., A Plan for Spam, Online!, August 2002, XP002273602, http://www.paulgraham.com/spam.html , retrieved on 2004-03-12	

Examiner Signature	/Djenane Bayard/	Date Considered	03/23/2007
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Substitute for form 1449B/PTO

(Use as many sheets as necessary)

Complete If Known

Application Number	10/601,304
Filing Date	June 20, 2003
First Named Inventor	Joshua T. Goodman
Art Unit	2153 2141
Examiner Name	Bayard
Attorney Docket Number	MS303963.01/MSFTP439US

Sheet	2	of	2
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Signature**

/Djenane Bayard/

Date Considered

03/23/2007

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Examiner Signature	/Djenane Bayard/	Date Considered	03/23/2007
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Substitute for Form 1449/PTO

(Use as many sheets as necessary)

Complete if Known

Application Number	10/601,034
Filing Date	June 20, 2003
First Named Inventor	Joshua T. Goodman
Art Unit	2153-2141
Examiner Name	Unknown Bayard
Attorney Docket Number	MS303963.01/MSFTP439US

Sheet	1	of	2
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U. S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

03/23/2007

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Substitute for form 1448A/PTO SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Complete if Known	
		Application Number	10/601,034
		Filing Date	06-20-2003
		First Named Inventor	Joshua Goodman
		Art Unit	2154 2141
		Examiner Name	Bayard
		Attorney Docket Number	MS3039683.01/MSFTP439US
Sheet	1	of	2

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
D.B.		US- 6,052,709	04-18-2000	Paul	
		US-			
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FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code ³ Number ⁴ Kind Code ⁵ (if known)			

Examiner Signature	/Djenane Bayard/	Date Considered	03/23/2007
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Substitute for form 1449B/PTO		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use as many sheets as necessary)		Application Number	10/601,034
		Filing Date	06-20-2003
		First Named Inventor	Joshua Goodman
		Art Unit	2134 2141
		Examiner Name	Bayard
		Attorney Docket Number	MS3039683.01/MSFTP439US
Sheet	2	of	2

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
D.B.		International Search Report dated January 17, 2006, mailed January 31, 2006, for PCT Application Serial No. PCT/US04/05501, 2 Pages.	

Examiner Signature	/Djenane Bayard/	Date Considered	03/23/2007
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**SUPPLEMENTAL
INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Sheet 1 of 2

Complete if Known

Application Number	10/601,034
Filing Date	06-20-2003
First Named Inventor	Joshua Goodman
Art Unit	2154 2141
Examiner Name	Bayard
Attorney Docket Number	MS3039683.01/MSFTP439US

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No.	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code* (if known)			
D.B.		US- 6,074,942	Stockwell, et al.	06-06-2000	
D.B.		US- 6,199,102	Cobb	03-06-2001	
		US- 6,477,551	Johnson, et al.	11-05-2002	
		US- 6,101,331	Egginton, et al.	08-08-2000	
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				Application Number	10/601,034
				Filing Date	06-20-2003
				First Named Inventor	Joshua Goodman
				Art Unit	2154 2141
				Examiner Name	Boyard
Sheet	1	of	2	Attorney Docket Number	MS3039683.01/MSFTP439US

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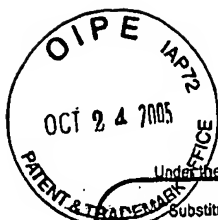
Examiner Signature	/Djenane Bayard/	Date Considered	03/23/2007
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Sheet 1 of 2

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Application Number.	10/601,304
Filing Date	June 20, 2003
First Named Inventor	Joshua T. Goodman
Art Unit	2153 2141
Examiner Name	Bayard
Attorney Docket Number	MS303963.01/MSFTP439US

U. S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
D.B. ↓		US- 2002/0184315	12-02-2002	Earnest	
		US- 10/208,150	07-29-2002	Andaker	
		US- 09/893,941	06-28-2001	Horvitz	
		US- 10/278,591	10-23-2002	Heckerman	
		US- 10/180,565	06-26-2002	Goodman	
		US- 09/497,992	02-04-2000	Maller	
		US- 10/291,260	11-08-2002	Burrows	
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		Country Code ³ Number ⁴ Kind Code ⁵ (if known)				
D.B.		EP1376427 A2	01-02-2004	Microsoft Corporation		
D.B.		EP1376427 A3	01-02-2004	Microsoft Corporation		

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/Djenane Bayard/

Date
Considered

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)	Application Number		10601034
	Filing Date		2003-06-20
	First Named Inventor	Joshua T. Goodman	
	Art Unit	2453 2441	
	Examiner Name	Unknown Bayard	
	Attorney Docket Number		MS303963.01/MSFTP439US

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D.B.	1	20030320054	A1	2003-10-23	Cheng, et al.		

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D.B.	1	9967731	WO		1999-12-29	Microsoft Corporation		<input type="checkbox"/>

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STATEMENT BY APPLICANT**
(Not for submission under 37 CFR 1.99)

Application Number	10601034
Filing Date	2003-06-20
First Named Inventor	Joshua T. Goodman
Art Unit	2153 2141
Examiner Name	Unknown Bayard
Attorney Docket Number	MS303963.01/MSFTP439US

D.B.	1	European Search report dated February 23, 2007, mailed February 28, 2007 for European Patent Application Serial Number 05105308, 4 pages.	<input type="checkbox"/>
D.B.	2	European Search Report dated July 5, 2006, mailed July 24, 2006 for European Application No. EP 06 01 2631, 3 pages.	<input type="checkbox"/>

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Application Number	10601034
Filing Date	2003-06-20
First Named Inventor	Joshua Goodman
Art Unit	2163 2141
Examiner Name	Bayard
Attorney Docket Number	MS303963.01/MSFTP439US

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D.B.	1	6615242		2003-09-02	Riemers	

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D.B.	1	20030041126		2003-02-27	Buford, et al.	
D.B.	2	20030088627		2003-05-08	Rothwell, et al.	

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Application Number	10601034
Filing Date	2003-06-20
First Named Inventor	Joshua Goodman
Art Unit	2455 2141
Examiner Name	Bayard
Attorney Docket Number	MS303963.01/MSFTP439US

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D.B.	1	European Search Report dated April 6, 2006 and mailed April 6, 2006 for EP 04102242, 3 pages.	<input type="checkbox"/>
D.B.	2	GRAHAM. "The Future of SPAM" (2003) Computer Journal, CSI Computer Security Institute, vol. 19, no. 1, 6 pages.	<input type="checkbox"/>

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Application Number	10601034
Filing Date	2003-06-20
First Named Inventor	Joshua Goodman
Art Unit	2153 2141
Examiner Name	Bayard
Attorney Docket Number	MS303963.01/MSFTP439US

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D.B.	2	20030204569		2003-10-00	Andrews, et al.	
D.B.	3	20030009698		2003-01-00	Lindeman, et al.	

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Application Number	10601034
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First Named Inventor	Joshua Goodman
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Filing Date	2003-06-20
First Named Inventor	Joshua T. Goodman
Art Unit	2459-2141
Examiner Name	Bayard
Attorney Docket Number	MS303963.01/MSFTP439US

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D.B.	1	6742047		2004-05-25	Michael Man-Hak Tso	
D.B.	2	6314421		2001-11-06	Sharnoff, et al.	
D.B.	3	6421709		2002-07-16	McCormick, et al.	
D.B.	4	6321267		2001-11-20	Albert L. Donaldson	
D.B.	5	6701440		2004-03-02	Kim, et al.	
D.B.	6	6167434		2000-12-26	Stephen Y. Pang	
D.B.	7	6732157		2004-05-04	Gordon, et al.	
D.B.	8	6643686		2003-11-04	Robert J. Hall	

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Application Number	10601034
Filing Date	2003-06-20
First Named Inventor	Joshua T. Goodman
Art Unit	2153 2141
Examiner Name	Bayard
Attorney Docket Number	MS303963.01/MSFTP439US

	9	6928465		2005-08-09	Jerry Brett Earnest	
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D.B.	1	20010046307	A1	2001-11-29	Ping Wah Wong	
D.B.	2	20020073157	A1	2002-06-13	Newman, et al.	
D.B.	3	20040199594	A1	2004-10-07	Radatti, et al.	
D.B.	4	20020091738	A1	2002-07-11	Rohrbaugh, et al.	
D.B.	5	20040073617	A1	2004-04-15	Milliken, et al.	
D.B.	6	20030229672	A1	2003-12-11	Daniel Mark Kohn	
D.B.	7	20050015455	A1	2005-01-20	Gary G. Liu	

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Attorney Docket Number	MS303963.01/MSFTP439US

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	1	6915334		2005-07-05	Robert J. Hall	

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Application Number	10601034
Filing Date	2003-06-20
First Named Inventor	Joshua T. Goodman
Art Unit	2453 2441
Examiner Name	Unknown Bayard
Attorney Docket Number	MS303963.01/MSFTP439US

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	First Named Inventor	Joshua T. Goodman	
	Art Unit	2153 2141	
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